



Please type a plus sign (+) inside this box → ☐

PTO/SB/81 (10-00)

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it display a valid OMB control number.

## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	10/629,689
Filing Date	07/30/2003
First Named Inventor	Colin J. Smit
Group Art Unit	3629
Examiner Name	
Attorney Docket Number	873-211

I hereby appoint:

☒ Practitioners at Customer Number

OR

☐ Practitioner(s) named below:

26929



26929

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Firm or  
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

### SIGNATURE of Applicant or Assignee of Record

Name	INVESTMENT TRANSACTION ANALYSIS LLC
Signature	[Signature] — STEPHEN COCKROFT — PRESIDENT
Date	9-22-04

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.



PTO/SB/96 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Colin J. Smit & Johannes C. Bruce  
 Application No./Patent No.: 10/629,689 Filed/Issue Date: 07/30/2003  
 Entitled: Programmable Automated Trustee (PAT) system, ...  
Investment Transaction Analysis, Inc. a Company  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
 2. ☐ an assignee of less than the entire right, title and interest.  
 The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

In the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
 The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.  
 2. From: \_\_\_\_\_ To: \_\_\_\_\_  
 The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.  
 3. From: \_\_\_\_\_ To: \_\_\_\_\_  
 The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

October 5, 2004  
 Date

Stephen Cockcroft  
 Typed or printed name  
[Signature]  
 Signature  
President, Investment Transaction Analysis, Inc.  
 Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

## ASSIGNMENT OF APPLICATION

Whereas, We Colin Julian Smit and Johannes Conradie Bruce of Cape Town, South Africa, hereafter referred to as applicant, have invented certain new and useful improvements in investment transaction analysis, known as the "Programmable Automated Trustee" system, for which an application for a United States Patent was filed on July 30, 2003, (Application Number not yet issued, stamped and dated Patent Application Transmittal Form attached).

Whereas, Investment Transaction Analysis, Inc., a Delaware, U.S.A. corporation here referred to as "assignee" whose mailing address is 1000 Tudor Drive, Crownsville, Maryland 21032 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$10.00) and other valuable consideration, the receipt whereof is acknowledged, We, the applicants, by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire rights, title and interest in and to any and all Patents which may be granted therefore in the United States. We hereby authorize and request the Director of the U.S. Patent and Trademark Office to issue said United States Patent to said assignee, of the entire right, title and interest in and to the same, for assignee's sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 4<sup>TH</sup> day of August, 2003.

At Cape Town, South Africa

  
Colin Julian Smit, Applicant

  
Johannes Conradie Bruce, Applicant

Commissioner of Oaths for South Africa:

Before me personally appeared said applicants and acknowledged the foregoing instrument to be their free act and deed this 4<sup>th</sup> day of August, 2003

SEAL:

**ADV. PETER CAROLUS**  
COMMISSIONER OF OATHS  
EX OFFICIO  
PRACTISING ADVOCATE, CA  
GROOTE KERK BLD. RM. 917  
39 ADDERLEY ST., C.T. 8000

**ADV. PETER CAROLUS**  
COMMISSIONER OF OATHS  
EX OFFICIO  
PRACTISING ADVOCATE, CAPE  
GROOTE KERK BLD. RM. 917  
39 ADDERLEY ST., C.T. 8000